Foreign Affairs, Trade and Development Canada
Affaires étrangères, Commerce et Développement Canada

INTERNATIONAL HUMANITARIAN ASSISTANCE

FUNDING APPLICATION GUIDELINES

FOR

NON-GOVERNMENTAL ORGANIZATIONS

6 August 2013

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Section 1: Introduction

1.1 Purpose of NGO Funding Application Guidelines

The purpose of the following Guidelines is to provide Canadian and international non-governmental organizations (NGOs) with guidance on the Foreign Affairs, Trade and Development Canada (DFATD) process and requirements to be considered for international humanitarian assistance funding.

1.2 Process Overview

DFATD's International Humanitarian Assistance Directorate (IHA) has revised its NGO Funding Application Guidelines to help strengthen the Department's accountability, streamline processes and improve the overall efficiency of its humanitarian responses.

The underlying change to these Guidelines is the introduction of an NGO Institutional Profile (Annex 1), to be submitted to IHA by the organization prior to being considered for humanitarian assistance funding. In this Profile, the NGO must demonstrate how it meets IHA's ten minimum requirements (outlined in the box on page 2).

NGOs that meet the minimum requirements will then be eligible to submit funding proposals responding to complex humanitarian situations and sudden onset emergencies, including natural disasters.

In order to maintain their eligibility for DFATD-IHA funding, NGOs will be required to update their Institutional Profile every three years.

NGO MINIMUM REQUIREMENTS FOR DFATD-IHA FUNDING

INSTITUTIONAL REQUIREMENTS:

1. Must be a legally incorporated organization;
2. Must be a non-governmental organization, registered as a non-profit organization;
3. Must have a Board of Directors or equivalent body;
4. Must have measures in place to address the requirements of Canada's anti-terrorism legislation;

FINANCIAL REQUIREMENTS:

5. Must submit audited financial statements for the past three fiscal years;
6. Must demonstrate that the NGO has managed an average of at least CAD $500,000 in international humanitarian assistance funding per year (from all sources), over the past three years;

INTERNATIONAL HUMANITARIAN ASSISTANCE REQUIREMENTS:

7. Must have at least five years of operational experience, expertise and capacity in providing international humanitarian assistance. This experience must be demonstrated in at least three overseas development assistance (ODA) countries;
8. Must adhere to the following codes of conduct: the Code of Conduct of the International Committee of the Red Cross and Red Crescent Movement and NGOs in Disaster Relief; and the Plan of Action and Core Principles of Codes of Conduct on Protection from Sexual Abuse and Exploitation in Humanitarian Crises;
9. Must demonstrate a commitment to work towards improving quality and accountability in international humanitarian assistance policies and programming; for example, through efforts to aspire to meet SPHERE Minimum Standards in Disaster Response; and
10. Must have a demonstrated past performance of coordination in the field, which reflects an understanding of the Inter-Agency Standing Committee cluster system and participation in the field-level Inter-Agency Standing Committee cluster system.

1.3 Step-by-Step Process Summary

DFATD-IHA's funding application process is as follows.

SUBMITTING THE INSTITUTIONAL PROFILE

STEP 1 – Review of NGO requirements: NGOs interested in being considered for DFATD-IHA funding must first ensure they meet all of the ten minimum requirements, which are identified in the box above "NGO Minimum Requirements for DFATD-IHA Funding" and below in Section 2.1: "Process for Submitting the Institutional Profile."

STEP 2 – Institutional Profile: If the NGO believes it meets all of the ten minimum requirements, the organization can complete and submit the Institutional Profile outlined in Annex 1. In this Profile, the NGO must provide clear evidence demonstrating how it meets IHA's ten minimum requirements. NGOs can complete the Institutional Profile in either English or French.

For the Institutional Profile, the NGO also needs to provide additional information and documentation relating to its governance, institutional capacity and humanitarian assistance experience. IHA will review this information and documentation only for those NGOs who meet the ten minimum requirements. The additional information and documentation will provide useful contextual and qualitative information about the NGO's capacity to effectively deliver international humanitarian assistance.

STEP 3 – IHA review of Institutional Profile: IHA reviews the NGO's Institutional Profile and informs the organization in writing whether it meets all ten minimum requirements. In the event the organization does not meet all of the ten minimum requirements, IHA will specify which of the minimum requirements the NGO has not met.

APPLYING FOR DFATD-IHA FUNDING

STEP 4 – Submission of funding proposals by eligible NGOs: Only NGOs that meet IHA's minimum ten requirements are then eligible to submit funding proposals in response to annual funding appeals/complex humanitarian situations and other funding/sudden onset emergencies.

STEP 5 – Review of funding proposals: IHA reviews funding requests. When reviewing proposals, IHA uses the information and documentation provided in the NGO's Institutional Profile as a factor in making the decision to recommend funding the proposal or not.

STEP 6 – Notification of funding proposal request: IHA informs the organization whether the proposal will be recommended for funding or not.

Note: information contained in NGO applications is subject to release upon request under the Access to Information Act or the Privacy Act (available at: http://laws-lois.justice.gc.ca/eng/acts/P-21/index.html).

Submitting the Institutional Profile and Applying for DFATD-IHA funding

NGOs <u>without</u> an accepted institutional profile:

Step 1

NGO undertakes a self-assessment to determine whether their organization meets the ten minimum requirements.

Step 2

If yes, NGO completes the Institutional Profile and submits to DFATD-IHA, including supporting documentation.

Step 3

DFATD-IHA reviews the Institutional Profile.

DFATD-IHA informs NGO whether the organization meets the minimum requirements and is eligible to submit proposals for DFATD-IHA funding.

If <u>YES</u> ***(NGO meets minimum requirements)***

NGOs are eligible to submit funding proposals to DFATD-IHA.

NGOs provide information regarding any major changes or new or revised NGO policies to DFATD-IHA, as necessary.

NGOs update their institutional profile every three years.

If <u>NO</u> ***(NGO does not meet minimum requirements)***

Until their Institutional Profile is accepted, NGOs cannot submit funding proposals to DFATD-IHA.

NGOs can resubmit their Institutional Profile once they can demonstrate that they meet the minimum ten requirements.

NGOs with an accepted and up-to-date institutional profile:

NGO is eligible to submit a funding proposal to DFATD-IHA.

Step 4

An eligible NGO submits their proposal to DFATD-IHA for consideration, in November/December, typically for complex crises; and once international appeals have been launched for sudden onset emergencies.

Step 5

DFATD-IHA reviews NGO proposal, using IHA proposal assessment criteria.

Step 6

IHA informs the NGO whether their proposal will be recommended for funding or not.

1.4 DFATD's International Humanitarian Assistance Directorate (IHA)

DFATD is the Government of Canada's operational lead for providing international humanitarian assistance in response to complex and sudden onset humanitarian situations. The Department's humanitarian assistance mandate is to help save lives, alleviate suffering and maintain the dignity of those affected by conflict and natural disasters by providing an appropriate, timely and effective response.

DFATD's broader objective is to lead Canada's international effort to help people living in poverty. More than 90 percent of those affected by natural disasters live in developing countries. The poverty, high-density populations and environmental degradation affecting most of the people in these countries make them the most vulnerable to disasters and least able to help themselves when emergencies occur. Complex humanitarian situations also affect the world's poorest countries disproportionately. International humanitarian assistance focuses on short-term interventions and does not aim to address the root causes of poverty or conflict, nor can it substitute for long-term development efforts.

DFATD's primary response to humanitarian situations, through the International Humanitarian Assistance Directorate (IHA), is the provision of financial support to experienced humanitarian partners, including United Nations (UN) agencies, the International Red Cross and Red Crescent Movement and non-governmental organizations (NGOs). DFATD also provides relief supplies from the Department's

stockpile to humanitarian partners who act as consignees and funds the deployment of Canadian humanitarian technical experts through established rosters, as well as field hospitals through the Canadian Red Cross Society.

IHA funds organizations possessing the demonstrated knowledge, experience and capacity to meet the needs of vulnerable populations. There are two main types of DFATD-IHA funding:

- **Annual funding,** which includes support to the UN-coordinated Consolidated Appeals Process (CAPs), general appeals of UN humanitarian organizations, the International Red Cross and Red Crescent Movement Appeals and NGO proposals in response to complex humanitarian situations.

- **Other funding,** which includes support to Flash Appeals issued by the United Nations (UN), emergency appeals issued by the International Red Cross and Red Crescent Movement and proposals submitted by NGOs in response to a sudden onset emergency, including a natural disaster or a sudden deterioration of a complex emergency, when off-cycle funding is required.

A number of key principles, best practices and legal frameworks guide DFATD's humanitarian assistance, including adherence to and promotion of international humanitarian, human rights and refugee law. DFATD also seeks to protect and promote respect for the core humanitarian principles of humanity, impartiality, neutrality and independence.

Humanitarian Principles

Humanity – the centrality of saving lives and alleviating suffering wherever it is found.

Impartiality – humanitarian action must be carried out solely on the basis of need, giving priority to the most urgent cases of distress and making no distinctions on the basis of nationality, race, gender, religious belief, class or political opinions.

Neutrality – humanitarian action must not favour any side in an armed conflict.

Independence – humanitarian action must be autonomous from the political, economic, military or other objectives that any actor may hold with regard to areas where humanitarian action is being implemented.

In accordance with the Principles and Good Practice of Humanitarian Donorship (GHD), DFATD strives to provide humanitarian assistance solely on the basis of need and in a responsive and equitable manner. Focusing on the needs of the most vulnerable and paying special attention to cross-cutting themes, such as gender equality and the environment, including the principle of "do no harm" as it relates to cumulative environmental effects, are essential components of DFATD's humanitarian response.

The humanitarian principle of "Do No Harm" is also critical in DFATD's humanitarian response. While not attempting to address or solve all potential dimensions of armed conflicts, the manner in which humanitarian assistance is delivered can adversely affect conflict-affected populations. It is therefore extremely important to avoid delivering aid (or appear to deliver aid) in a manner that exacerbates any pre-existing tensions or inequalities in the project location.

Section 2: Submission of a NGO Institutional Profile

2.1 Process for Submitting the Institutional Profile

STEP 1: Review of NGO requirements - Organizations receiving funding from IHA should have the necessary organizational, financial and humanitarian assistance capacity to ensure that funds are used effectively. As such, IHA requires that NGOs meet ten minimum requirements.

Institutional Requirements:

1. Must be a legally incorporated organization;
2. Must be a non-governmental organization, registered as a non-profit organization;
3. Must have a Board of Directors or equivalent body;
4. Must have measures in place to address the requirements of Canada's anti-terrorism legislation;

Financial Requirements:

5. Must submit audited financial statements for the past three fiscal years. Only those organizations deemed to pose an acceptable level of financial risk to DFATD will be eligible to apply for DFATD funding;
6. Must demonstrate that the NGO has managed an average of at least CAD $500,000 in international humanitarian assistance funding per year (from all sources) over the past three years;

Humanitarian Assistance Requirements:

7. Must have at least five years of operational experience, expertise and capacity in delivering international humanitarian assistance. This experience must be demonstrated in at least three overseas development assistance (ODA) countries;
8. Must adhere to the following codes of conduct: the Code of Conduct of the International Committee of the Red Cross and Red Crescent Movement and NGOs in Disaster Relief; and the Plan of Action and Core Principles of Codes of Conduct on Protection from Sexual Abuse and Exploitation in Humanitarian Crises;
9. Must demonstrate a commitment to work towards improving quality and accountability in international humanitarian assistance policies and programming, for example through efforts to aspire to meet SPHERE Minimum Standards in Disaster; and
10. Must have a demonstrated past performance of coordination in the field, which reflects an understanding of the Inter-Agency Standing Committee cluster system and participation in the field-level Inter-Agency Standing Committee cluster system.

STEP 2: Institutional Profile - If the NGO believes it meets all ten of these minimum requirements and wants to be considered for project funding, the organization is invited to follow the instructions and fill out the **Institutional Profile** outlined in Annex 1 of these Guidelines.

NGOs should send Institutional Profiles and supporting documentation to:
ahi-iha@international.gc.ca

STEP 3: IHA review of Institutional Profile - IHA reviews the Institutional Profile and determines whether the NGO has met the ten minimum requirements. Once IHA has confirmed in writing that an NGO meets the minimum requirements, the NGO will then be eligible to submit funding proposals responding to complex and sudden onset humanitarian situations.

If an NGO meets the ten minimum requirements, IHA will review the additional information provided by the NGO as identified in the Institutional Profile template (Annex 1). The additional information will enable IHA to further assess the NGO's capacity to successfully implement humanitarian assistance programming, such as the NGO's capacity to effectively manage financial resources; its capacity to manage risk; as well as its capacity to plan for and achieve gender equality results and environmental sustainability in international humanitarian contexts. This information will be considered in the review of proposals as part of IHA's broader due diligence of NGOs.

Please note that DFATD has a process for evaluating the fiduciary risk posed by our partner organizations and, as a result, IHA may ask NGOs for additional information to meet these corporate DFATD due diligence requirements. The fiduciary risk assessment examines in greater detail the institutional issues listed in the box below, "Fiduciary Risk Assessment."

FIDUCIARY RISK ASSESSMENT
Risk Factor # 1 – Recipient Governance and Stability The risk is based on the degree to which the recipient can demonstrate effective governance, including independent and stable oversight structures, a clear strategic plan, accountability and transparency.
Risk Factor # 2 – Recipient Results Performance Prior History The risk is based on the degree to which recipient has demonstrated ability to achieve results.
Risk Factor # 3 – Recipient Financial Viability The risk is based on the degree to which the financial performance, situation and financial management capacity of the recipient are viable and stable.
Risk Factor # 4 – Corruption and Fraud The risk is based on the degree to which anti-corruption systems safeguard that funds are being used for intended purposes and appropriately.

As part of this Departmental-level fiduciary risk assessment of partner organizations, IHA will share information provided by an NGO in its IHA Institutional Profile with other DFATD programs.

International NGOs with a registered Canadian office should have their Canadian office complete the Institutional Profile. For those with no Canadian office, their international headquarters office should complete the Profile.

Important Note: The successful completion of the Institutional Profile is not a guarantee that humanitarian funding will be provided by DFATD. IHA will assess each NGO funding proposal received based on its own merit. IHA uses an NGO's Institutional Profile as one factor in determining whether to recommend funding the proposal or not.

NGOs that do not meet all of the ten criteria will not be eligible for funding and will be provided with feedback in writing. Once an NGO can demonstrate that they meet the minimum ten requirements, IHA invites they NGO to resubmit their **Institutional Profile**.

2.2 Supporting Documentation for the NGO Institutional Profile

NGOs should provide the following supporting documentation along with their Institutional Profile:

a) Proof of non-profit status and incorporation under Canadian law or the laws of a foreign government;

b) Audited financial statements for the past three financial years, covering the past three years and signed by the auditor and responsible board member;

c) The NGO's organization chart;

d) If available, the organization's strategic plan, institutional strategy or equivalent;

e) If available, a copy of the Board's liability insurance policy;

f) Code of ethics, code of conduct, and anti-terrorism policies, anti-corruption policies, or equivalent documents;

g) Any external audits, evaluations and institutional assessments of the NGO's humanitarian responses done within the last five years (the two most recent);

h) Two examples of international humanitarian assistance final project reports, including financial reports; and

i) A copy of relevant corporate safety and security policy and procedure documents used by the NGO in humanitarian response operations.

For the full list of required supporting documentation, along with further details about each specific requirement, please see Annex 1, the Institutional Profile template.

2.3 Institutional Profiles and Maintenance of Profiles

IHA accepts Institutional Profiles from NGOs who believe they meet the ten minimum criteria on an ongoing basis.

In order to maintain their eligibility for IHA funding, NGOs are required to update their Institutional Profile every three years. NGOs are also expected to submit any major updates or changes to their organization, as relevant (for example, new policies; any major changes in the NGO's financial situation; significant management changes).

Note that NGOs will be asked to submit their audited financial statements on an annual basis as part of DFATD's corporate due diligence requirements. Failure to do so can result in major delays in reviewing funding proposals submitted by the NGO.

Section 3: Applying for DFATD-IHA Funding

3.1 Introduction

This section describes the funding application process for those NGOs who have met IHA's minimum requirements outlined in Section 2.1 (Step 1) of these Guidelines and have submitted their Institutional Profile and DFATD-IHA has informed the NGO that they are eligible to submit funding proposals.

STEP 4: Submission of funding proposals by eligible NGOs - NGOs that have met IHA's minimum requirements through the submission and subsequent review and acceptance of their Institutional Profile by IHA, can submit funding proposals to provide humanitarian assistance for sudden onset emergencies/annual funding and complex humanitarian situations/other funding.

NGOs should send proposals to ahi-iha@international.gc.ca.

STEP 5: Review of funding proposals - IHA reviews all project proposals received; however, IHA will not consider incomplete proposals. Each proposal will be assessed based on its appropriateness to a given humanitarian response and the proposal's relative strength, as well as the NGO's Institutional Profile and IHA's overall due diligence of the organization. Note that IHA will not recommend all project proposals received for funding. Availability of funding is another factor for consideration. Please refer to Section 3.3 "IHA Proposal Assessment Criteria" for more information.

STEP 6: Notification of funding proposal requests: IHA will notify the applying NGO via email if DFATD has recommended a proposal for funding.

> ***Please note:*** In line with the Government of Canada's Proactive Disclosure efforts, project-related information for approved humanitarian funding initiatives are considered public information and published on DFATD's website (including: name of organization receiving funds, purpose of project, project amount and results achieved). *If for security reasons, this presents a problem, please advise DFATD-IHA.*

3.2 Activities IHA Does Not Fund

Please note that IHA does not fund the following NGO activities:

- Peacebuilding and long-term development projects;
- Food assistance[2];
- Search and rescue operations;
- Deployment of individuals operating outside established mechanisms of the international humanitarian system;
- Transportation of goods, whether new or used, from Canada to the affected country/region; and,
- Disaster Risk Reduction (DRR) activities[3].

3.3 IHA Proposal Assessment Criteria

IHA assesses funding requests against several criteria including:

- Strength of rationale for the proposed response (including geographic scope and intended beneficiaries; how the proposal reaches the most vulnerable in the most severe situations);
- Strength of supporting information to back up effectiveness of proposed intervention;
- Strength of needs assessments (addressing gaps);
- Alignment with credible humanitarian needs assessments and/or country-specific consolidated appeal (if applicable);
- Operational capacity of NGO and partner(s), if applicable, in the proposed sector;
- Operational capacity of NGO and partner(s), if applicable, to respond in-country;
- How the NGO is best placed to respond to the crisis;
- Expected outcomes;
- Level of analysis of risks and the management strategy for the given humanitarian context;
- Level of environmental analysis (including identification of effects and mitigation measure, if necessary, as well as, identification of expected environmental sustainability results and indicators, where applicable);
- Level of gender analysis (including collection of sex disaggregated data; and identification of expected gender equality results, and gender-sensitive indicators, where applicable);
- NGO's coordination capacity in the local context;
- NGO's technical capacity;

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[2] On an exceptional basis, IHA may consider supporting NGOs for food assistance. IHA will inform NGOs should it be prepared to consider such proposals for a particular response. Please note that therapeutic feeding is considered a health intervention and not food assistance, and is therefore eligible for IHA support. Where feasible, Community-based Management of Acute Malnutrition (CMAM) is the recognized standard for the management of acute malnutrition in humanitarian emergencies. NGOs that do not intend to use the CMAM method in their project must justify this in the proposal. In addition, NGOs must justify the inclusion of a cost for the procurement of therapeutic feeding in project budgets, as the expectation is that these inputs are provided freely by UNICEF.

[3] IHA does not provide funding support for DRR activities except for modest support to preparedness activities integrated into the NGO's relief programming.

- NGO's performance and reputation in country;
- NGO's past performance in implementing IHA-funded humanitarian programming, if applicable;
- Cost-effectiveness of proposal/value for money; and
- Availability of funding.

3.4 Requirements for Submitting an IHA proposal

The table below summarizes the requirements for submitting a funding proposal responding to a complex humanitarian situation or a sudden onset emergency. These are mandatory for a proposal to be assessed by IHA. If these requirements are not met, IHA will consider the proposal incomplete and will not consider it for review.

Note that the information requirements for proposal submission depend on the nature of the humanitarian crisis being addressed. Given the highly fluid operating context at the outset of sudden onset emergencies, as well as the limited availability of data regarding needs, minimum information requirements at the time of proposal submission differ as described in the table below. When preparing a proposal for a sudden onset emergency, NGOs should always contact the responsible IHA officer to confirm if IHA needs more than the minimum requirements.

IHA Documentation Requirements for Funding Proposals		
	Annual Funding/Complex Humanitarian Situation	**Other Funding/Sudden Onset Emergency**
Institutional Profile on file with IHA	Yes	Yes
Project Summary Sheet (Annex 2)	Yes	Yes
Abridged proposal (Annex 3)	No	Yes
Full proposal (Annex 4)	Yes	No
Summary Budget (Annex 5)	No	Yes
Detailed budget (Annex 6)	Yes	Yes*
Logic Model (Annex 9)	Yes	Yes*
Performance Measurement Framework (Annex 10)	Yes	Yes*
Project Implementation Timeline (Annex 11)	Yes	Yes

**Within one month of grant signature*

3.5 Applying for DFATD-IHA Funding – Annual Funding/Complex Humanitarian Situations

A complex humanitarian situation is an often protracted, multifaceted emergency in a country, region or society where there is total or considerable breakdown of authority resulting from internal or external conflict requiring a multi-sectoral, international response that goes beyond the mandate or capacity of any single agency and/or the ongoing UN country program. Such an emergency is typically characterised by extensive violence and loss of life, massive displacement, as well as widespread damage to society and the economy.

IHA aligns its annual funding cycle for complex humanitarian situations with the launch of United Nations Consolidated Appeals Process (CAPs) and International Committee of the Red Cross emergency appeals. While IHA accepts NGO proposals throughout the year, the vast majority of IHA funding for complex humanitarian situations is done between January and March.

In response to complex humanitarian situations, interested NGOs who have been notified by IHA that they have met the minimum ten requirements and have an up-to-date Institutional Profile, should submit a full proposal (please see Annex 4 for the template) outlining in detail the humanitarian needs, proposed response, risks and expected results. Please refer to the table above ("IHA Documentation Requirements for Funding Proposals") for the proposal requirements in response to annual funding/complex humanitarian situation.

3.6 Applying for DFATD-IHA Funding – Other Funding/Sudden Onset Emergencies

Typically, sudden onset humanitarian emergencies are the result of a natural disaster (e.g. cyclones, hurricanes, floods and earthquakes). Surges in violence linked to a lingering or new conflict can also lead to sudden onset humanitarian emergencies, characterized by significant displacement, a highly unstable situation on the ground and the need for humanitarian actors to respond quickly. These types of emergencies are typically accompanied by the launch of flash appeals by the United Nations and/or emergency appeals by the International Red Cross and Red Crescent Movement.

IHA recognizes the significant challenges the humanitarian community faces in the days following sudden onset emergencies, including identifying needs and reaching vulnerable populations in a timely manner. The application process for proposals responding to sudden-onset emergencies is designed to help ensure a rapid Canadian response, while also ensuring that applying NGOs have the necessary in-country knowledge and capacity to effectively deliver the proposed humanitarian assistance response.

Following such emergencies, interested NGOs who have been notified by IHA that they have met the minimum ten requirements can submit an Abridged Proposal to IHA (please see Annex 3 for the template). The proposal should focus on the conclusions of preliminary needs assessment and the proposed response. Please refer to the table above ("IHA Documentation Requirements for Funding

Proposals") for the minimum requirements for a proposal in response to a sudden onset emergency to be considered complete.

Even when a proposal using the abridged format is accepted, NGOs are required to submit a logic model, performance management framework and detailed budget within one month of signature of the grant agreement. Note that IHA will consider this detailed budget as the final approved version. NGOs should refer to this detailed budget should they need to request DFATD's approval for budget variances or for no-cost project extensions. In addition, NGOs should base their final financial report on the detailed budget.

Note: IHA will only accept abridged proposals from NGOs during the initial phase of a sudden onset emergency.

When preparing a proposal for a sudden onset emergency, NGOs should always contact the responsible IHA officer to confirm if IHA needs more than the minimum requirements.

Section 4: Project Approval Process

Timing: **For sudden onset emergencies,** IHA typically begins assessing NGO proposals once international appeals have been launched. For **complex humanitarian emergencies,** IHA will begin the assessment of NGO proposals following the launch of the annual UN CAPs and International Committee of Red Cross emergency appeals (typically in November/December). Final decisions regarding complex humanitarian situation proposals can be expected between January and March.

Project approval: IHA will advise NGOs if IHA has retained their proposals for consideration.

Funding amount: The amount approved by DFATD may be less than the amount requested in the project proposal. In such cases, NGOs will re-submit a revised project budget and revised expected outputs, if applicable, prior to the signature of the grant arrangement. If applicable, NGOs may also be requested to re-submit the Logic Model and Performance Measurement Framework.

Grant timeframe: IHA recognizes that NGOs generally launch their response to a sudden onset natural disaster immediately following the onset of said disaster. In such cases, IHA grants cover activities from the date of onset of the disaster to the project end date outlined in the grant agreement. The typical grant agreement duration is up to one year, in line with the CAP process. In exceptional circumstances, IHA will consider proposals of up to two years for protracted complex humanitarian emergencies.

Section 5: Project Implementation

5.1 Introduction

Given the rapidly changing operational environments in which NGOs operate, regular IHA-NGO communication is critical throughout project implementation. The sub-sections below outline examples of when this communication is required.

5.2 Project Updates

IHA will request that NGOs provide summary progress updates on an as-needed basis, particularly in sudden onset contexts, in the form of a short email, with reference to the project implementation timeline. Such requests will often be made on short notice. As such, IHA expects NGOs to have updated project information on hand, such as sit-reps from the field that can readily be shared with DFATD. NGOs receiving IHA funding are also requested to share any regular situation reports produced by the organization that highlight their overall programming in various humanitarian situations, both sudden onset and protracted emergencies.

5.3 Implementation Issues

NGOs are required to inform IHA immediately of any issues surrounding IHA-supported projects that would affect delivery of programming, such as:

- Justified expected delays in project implementation or challenges that could impact the achievement of planned results;
- Increased security and safety risks facing the NGO or its local partners working on an IHA-supported project. The NGO is also asked to inform IHA of what the organization is doing to manage or mitigate these risks;
- Any suspicions of fraud or corruption in the organization or IHA-supported project; and
- Any suspicions that DFATD or other donor funds have deliberately or inadvertently been diverted to support terrorist entities or activities.

5.4 Requesting Revisions to the Approved Project and Budget

IHA expects that NGOs implement projects according to approved proposals and budgets. Any changes to the project purpose and expected results are to be requested in writing to IHA. In cases where budget revisions are required, NGOs should submit a written request and strong justification for the proposed revisions. **A revised budget will be required if the variance exceeds 10% of direct personnel costs and 20% on all other direct project cost budget line items. Please note that project administration costs can never exceed 7.5% of direct project costs.**

For projects approved through the sudden onset/other funding mechanism, NGOs should refer to the detailed budget should they need to request DFATD's approval for budget variances.

In such cases, IHA may also require the NGO submit a revised logic model and/or interim project narrative and financial report. Note that IHA will assess such requests on a case-by-case basis and will respond to the NGO via email.

5.5 Requesting No-Cost Extensions

DFATD expects project funds will be utilized by NGOs within the timeframe outlined in the grant agreement. As such, any request for a no-cost extension is reviewed on a case-by-case basis. In cases where a no-cost extension is required, the NGO should provide IHA with a strong written justification, at least 45 days in advance of the end date outlined in the grant agreement, and suggest a new project end date. IHA will also request a summary progress report to accompany the request. In addition, IHA will expect the NGO to submit a financial report, with expenditures to date and an implementation plan for the no-cost extension period. For projects approved through the sudden onset/other funding mechanism, NGOs should refer to the detailed budget should they request DFATD's approval for a no-cost extension.

IHA will respond to NGO requests for no-cost extensions in writing. Please note that no-cost extensions will be approved only in exceptional cases.

Section 6: Project Reporting and Project Closure

6.1 General Process

Timely and reliable reporting by IHA's partners is essential to help ensure that DFATD funds are utilized effectively, efficiently and transparently. Final project reports provide IHA with key information on progress made on planned results and the organization's overall performance. NGO reporting also helps ensure that lessons learned can be applied to future humanitarian assistance programming. IHA therefore welcomes frank reporting from its NGO partners on issues such as project appropriateness, constraints, challenges and lessons learned.

Reports are submitted to IHA in accordance with the provisions outlined in the grant agreement. Typically, an NGO submits only one project report, which includes a final financial and narrative report, due three months following the project end date. NGOs must report against the approved project budget and Logic Model and use the indicators outlined in the Performance Measurement Framework. For projects approved through the sudden onset/other funding mechanism, NGOs should refer to the detailed budget when preparing the final project financial report.

Please refer to Annex 7 for the template and instructions on Final Project Reports.

As noted above, in sudden onset or high profile humanitarian contexts, status updates are also required. There is no template for these updates. IHA requires a short email providing an activity report with reference to the project implementation timeline; initial results (outputs); and immediate results, when available. Sit-reps from the field are adequate.

Note: As part of good project management, DFATD closes projects in its administrative system once final narrative and financial reports have been reviewed. In the event that reports do not fulfill IHA's requirements, IHA may request additional information or revised reports before projects will be closed.

Annex 1: NGO Institutional Profile Template

NGO INSTITUTIONAL PROFILE
Name and address of organization

SECTION 1: CONTACT INFORMATION

Please provide the names and contact information for two people who are authorized to speak on behalf of their NGO to IHA regarding the contents of the completed NGO Institutional Profile.

Primary contact:	**Secondary contact:**
1) Name	2) Name
Position:	Position:
Tel:	Tel:
Fax:	Fax:
Email:	Email:

SECTION 2: NGO MINIMUM REQUIREMENTS FOR DFATD-IHA FUNDING

A) Institutional Requirements:

1. Is your organization legally incorporated in Canada or in another country? Yes/No
   - Attach a copy of your organization's Articles of Incorporation (or equivalent).

2. Is your organization registered as a non-profit organization? Yes/No
   - Attach a copy of your organization's registration documentation (or foreign equivalent, if your organization does not maintain an office in Canada).

3. Does your organization have a Board of Directors or equivalent body? Yes/No
   - Attach the names and titles of all Board Members

4. Does your organization have measures in place to address the requirements of Canada's anti-terrorism legislation (Section 83 of the Canadian Criminal Code)? Yes/No
   - Provide a description and supporting documentation to demonstrate the policy-level and practical operational measures that are in place to ensure compliance with the Criminal Code and to reduce the risk of aid diversion to the benefit of terrorists or other armed groups. If your organization has anti-terrorism policies, provide a copy of the policy or other relevant documents.

B) Financial Requirements:

5. Your organization must submit Board-approved audited financial statements for the past three fiscal years. NGOs should also submit corresponding management letters, if issued by the auditors. Only

those organizations that pose an acceptable level of financial risk, as assessed by DFATD, will be eligible to apply for DFATD funding.

6. Has your organization managed an average of at least CAD $500,000 in international humanitarian assistance funding per year (from all sources) over the past three years? Yes/No
   - Provide evidence of the amount of humanitarian assistance funding managed over the past three years (e.g., grant agreements, financial reports, annual reports, board documents).

C) Humanitarian Assistance Requirements:

7. Does your organization have at least five years of experience delivering humanitarian assistance in at least three different ODA-eligible countries? Yes/No
   http://www.oecd.org/dac/stats/DAC%20List%20used%20for%202012%20and%202013%20flows.pdf
   - Provide a table showing list of countries and sectors where the NGO has implemented humanitarian responses, including project duration, description and results achieved in each country, to demonstrate at least five years of recent experience.

8. Does your organization adhere to The Code of Conduct of the International Committee of the Red Cross and Red Crescent Movement and NGOs in Disaster Relief? Yes/No
   - Provide concrete examples of how your organization ensures this Code of Conduct is consistently upheld.

   Does your organization have a code of conduct that is consistent with the core principles of the Inter-agency Standing Committee (IASC) Plan of Action and Core Principles of Codes of Conduct on Protection from Sexual Abuse and Exploitation in Humanitarian Crises? Yes/No
   - Specify how your organization has mainstreamed the Core Principles through its operations.

9. Does your organization aspire to minimum standards of response and accountability initiatives of international humanitarian assistance (for example, SPHERE Minimum Standards in Disaster Response; the Minimum Standards for Child Protection in Humanitarian Action)? Yes/No
   - Name the standards most relevant to your organization and provide concrete examples of how your organization ensures these standards are consistently met and that accountability towards your organization's beneficiaries is enhanced.
   - Provide concrete examples of how your NGO ensures these SPHERE standards are consistently met.

10. Does your organization participate in the field-level Inter-Agency Standing Committee cluster system? Yes/No
    - Provide a table listing the cluster, location and year demonstrating your organization's participation.

SECTION 3: ADDITIONAL INFORMATION AND DOCUMENTATION

ORGANIZATIONAL CAPACITY

IHA's assessment of an NGO's organizational capacity is based on the NGO's ability to demonstrate it has the necessary governance and financial structures in place to effectively manage Canadian public funds.

In this section, NGOs should provide an overview of the following governance-related functions, practices and structures:

1. **Board of Directors:** Provide information on your organization's Board of Directors detailing the mandate, responsibilities and accountabilities of the Board; how Board are members selected; committee structures; by-laws and rules of procedure. If applicable, please provide a copy of the Boards liability insurance policy membership or equivalent governing body; how it is elected; its mandate; its responsibilities and accountabilities to the Board.
2. **Governance:** Provide your NGO's organization chart; strategic plan; business plan; annual report for the past three years; code of ethics; code of conduct; anti-corruption policies. Has your organization been accused of or involved in any alleged or proven cases of corruption? Please provide any relevant details and background information.
3. **Corporate risk management practices:** The organization should demonstrate that it has the necessary structures and controls in place to monitor and manage risks, including fiduciary risk.
4. **Audit and evaluation functions:** Provide information on the organization's audit and evaluation functions; for example, how often audits and evaluations are performed; how auditors/evaluators are selected.

HUMANITARIAN ASSISTANCE CAPACITY

1. **Demonstrated International Humanitarian Assistance Experience, Expertise and Capacity**

In this section, NGOs should provide an overview of its experience and capacity in delivering international humanitarian assistance in either complex or sudden onset humanitarian situations. In addition to the information requested through the minimum requirements above, please include the following information:

- A budget table outlining the last five (5) years of the NGO's total humanitarian programming as a percentage of the organization's overall budget;
- An overview of the NGO's in-house capacity in key humanitarian sectors (e.g. water, sanitation, shelter, food, protection), as well as further detail on the responsibilities of relevant technical experts both in Canada and on the ground);
- A description of the NGO's methodology for undertaking needs assessments in response to sudden onset or complex humanitarian situations. This should include a description of how the NGO participates in joint needs assessments or seeks to harmonize assessments; and
- External audits, evaluations and institutional assessments. Within the last five years, have there been any external audits, evaluations or institutional assessments done of the NGO's humanitarian

responses? If so, please submit the two most recent of each and any other relevant documents that attest to your performance, capacity and experience in providing humanitarian assistance. (NGO should also provide management responses, if relevant.) Project reports can either be for projects submitted to DFATD or to another donor, and in response to either a complex or sudden onset humanitarian situation, preferable in different countries.

2. Adherence to Established International Codes of Conduct and Standards

Several codes of conduct and standards have been developed by the international humanitarian community to ensure high standards of independence and effectiveness in the delivery of emergency programming.

In addition to the information requested through the minimum requirements above, the NGO should:

- If relevant, confirm whether its sub-contracted organizations are required to adhere to the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief and SPHERE Minimum Standards in Disaster Response or other minimum standards of international humanitarian assistance response, and if so, describe how it is monitored; and
- If relevant, confirm whether it requires sub-contractors to adhere to the core principles of the Inter-Agency Standing Committee (IASC) Plan of Action and Core Principles of Codes of Conduct on Protection from Sexual Abuse and Exploitation in Humanitarian Crises, and how the NGO monitors adherence by sub-contractors.
- Specify how accountability processes have been integrated into their operating systems. Does your organization have an accountability framework?

3. Experience in International Humanitarian Coordination

Coordination and policy dialogue are critical to improving the effectiveness of humanitarian responses by helping to ensure greater predictability, accountability and coherence, as well as avoiding programming duplication.

In this section, the NGO should demonstrate its support for international and national coordination, as well as policy dialogue efforts, by highlighting:

- How the NGO is linked at policy and operational levels to relevant international coordination and policy dialogue bodies;
- The extent to which the NGO participates in government/UN or other joint humanitarian planning initiatives (for example, CAP, CHAP);
- The NGO's participation in cluster or sub-cluster working groups; and
- The extent to which the NGO shares pertinent information with coordination and policy dialogue bodies, as well as the broader humanitarian community (e.g. regular reporting to cluster lead

agencies, the use of standardized reporting formats, working from shared baseline information, communicating evaluation plans, etc.)

4. Gender Equality Capacity in International Humanitarian Contexts

Gender equality is a crosscutting theme at DFATD and as such is an integral part of all Departmental policies, programs and projects.

Gender relations and inequalities are key factors that determine the ways in which people are affected by sudden onset emergencies and complex humanitarian situations. However, the distinct needs, priorities and capabilities of women, men, girls and boys are often overlooked in assessments and relief efforts. In order for humanitarian assistance to be effective, policies, planning and programming must address gender-related issues, such as the prevention of sexual and gender-based violence in humanitarian contexts, as well as the distinct health and sanitation needs of women, men, girls and boys. For women and girls in particular, lack of attention to gender issues along with their unequal participation in humanitarian decision-making, undermines the achievement of gender equality results and limits the overall effectiveness of humanitarian programming.

In this section, NGOs should include a description of:

- Organizational and project level planning, monitoring and reporting on gender equality results in humanitarian responses (e.g. whether gender equality results, gender-sensitive indicators, sex disaggregated data, and baseline data , are consistently identified and reported on in project level and annual organizational reports);
- Gender equality policy or other relevant strategy/document/guidelines that demonstrate the organization's approach to gender equality in humanitarian assistance;
- Integration of gender equality perspectives in humanitarian response and in other major policy and planning documents guiding the work of the organization. For example, describe the degree to which gender equality is integrated into sectoral/thematic policies related to humanitarian assistance – such as WASH policies; the degree to which gender equality considerations are integrated in evaluations and needs assessments; the use of the Inter- Agency Standing Committee (IASC) Gender Marker system or other such gender marker system, etc.);
- Technical gender equality capacity and availability of gender expertise in humanitarian response situations. If relevant, provide concrete examples of guidelines and training provided to staff on gender equality in humanitarian contexts.

Also describe efforts taken to ensure that: partner organizations have adequate gender equality capacity; and the gender balance in staffing within the organization at working and management levels.

Applicants are encouraged to review the "Gender Equality and Humanitarian Assistance: A guide to the issues"; Policy on Gender Equality and other key documents available on DFATD's website.

5. Environmental Sustainability Capacity in Humanitarian Contexts

The international community increasingly recognizes the importance of integrating environment considerations into the delivery of humanitarian assistance. In these contexts, environmental threats to vulnerable populations can include hazardous waste, deforestation, degradation of land and natural cover, water quality/quantity and climate change. Inadequate attention to these threats can not only make humanitarian assistance less effective, but actually worsen or prolong a humanitarian crisis. The improved integration of environmental considerations into relief efforts also promotes sustainable, long-term resilience and reduces vulnerability, especially for the poor. In this section, the organization should highlight how it seeks to ensure that environmental considerations are effectively integrated throughout its humanitarian programming.

The NGO should also demonstrate its institutional capacity for environmental management (i.e. to identify, evaluate, and manage the environmental effects). Supporting documentation includes:

- an environment policy or "safeguard" directives;
- an environmental strategy for project implementation;
- identification of who is responsible for environmental monitoring, environmental training or other environmental capacity building within the organization;
- associated tools (e.g. checklists, guidelines, field manuals); and
- procedures for monitoring and documenting appropriate environmental management of projects.

NGOs are encouraged to review Policy for Environmental Sustainability and other key documents available on DFATD's website.

6. Risk Management in Humanitarian Contexts

Safety and Security: Given the insecure and unpredictable environments where IHA programs, the Directorate requires its partners to have the necessary capacity to mainstream safety and security considerations and measures throughout their policies and programs.

NGOs must provide an overview of concrete measures taken at an institutional level to ensure the safety and security of its staff. Specifically, the NGO should indicate:

- Whether personnel are provided with relevant training in personal security and security management;
- How the NGO prepares for security incidents;
- How the NGO manages safety and security risks of its own staff and sub-contracted organizations, including, but not limited to, remote management and evacuations; and
- How the NGO liaises with other organizations regarding safety and security at the country level.

The NGO should also include copies of the NGO's safety and security processes and procedures.

Financial and fiduciary: The NGO must provide an overview of how it manages financial resources in high-risk environments. The NGO must also describe what measures it takes to prevent corruption, as well as outline how it manages risks in its procurement practices, if relevant.

Other: The NGO must describe any other relevant risks specific to its humanitarian programming.

NGOs should send Institutional Profiles and all supporting documentation to:
ahi-iha@international.gc.ca

Annex 2: Template - Project Summary Sheet

IHA PROJECT SUMMARY SHEET **Project Title (including year, type of crisis, country and sector)** **Organization** **Country**	
Date of Submission	
Contacts	Please include a primary and secondary contact for the proposal (e.g. officer and manager responsible for the proposal / humanitarian assistance programming) **Primary contact** 1) Name: Position: Tel/Fax/email: **Secondary contact** 2) Name: Position: Tel/Fax/email:
Flash/CAP appeal	Please specify whether this project is included in a Flash or CAP Appeal. (Y/N) If yes, what are the corresponding Flash Appeal/CAP Appeal project number(s)?
Project location	Please specify the location of project activities (country, region, etc):
Project delivery modality (please circle as appropriate)	Will your organization be directly responsible for implementing the project activities? (Y/N) Will your organization be working through local partners? (Y/N) Will your organization be using a combination of direct delivery and working through local partners? (Y/N)
Local partner organization(s) details, if appropriate	Please include the name and contact information of any local partner(s) that you will be working with to implement the activities in your funding proposal. Full legal name: Acronym: Street Address: Contact information (name, telephone and fax numbers, and e-mail address):
Expected project start and end dates	
Project cost	Total project cost: Funds requested from DFATD: Funds requested from other Canadian governmental entities: Funds requested from other donors (specify donors and status of these requests): Funds provided by partner organization(s):

	Funds provided by organization:		
Estimated number of beneficiaries (male/female)	Total number of beneficiaries: Number of beneficiaries to be reached with funds requested from IHA:		
Sector details (estimated budget and number of beneficiaries – male/female - for each sector)	**Sector:**	**Budget (DFATD-IHA funding):**	**Estimated number of direct beneficiaries* (to be assisted with DFATD-IHA funding):**
	Shelter:		
	Non-food relief items:		
	Nutrition:		
	Health:		
	Protection:		
	WASH:		
	Livelihoods:		
	Other (Specify):		
Project summary (maximum half page): Briefly outline the proposed NGO response, main objectives of the proposed response, selected targeted beneficiaries, project activities and expected results, including baseline data and gender equality considerations in the response.			
Project rationale: Based on specific needs assessments, specify why this project is required within the humanitarian context; the affected populations; local vulnerabilities and capacities; as well as why the applying NGO is best placed to address the identified needs.			

**For final reporting purposes (Final Report), DFATD will expect sex-disaggregated data.*

Annex 3: IHA Abridged Proposal Template

Sudden Onset Emergency/Other Funding Mechanism

IHA ABRIDGED PROPOSAL **Project Title (including year, type of crisis, country and sector)** **Organization** **Country**
A) Background and protect rationale: In this section, the NGO should provide: • A brief description of the specific humanitarian situation in proposed area(s) of operation; • A rationale for the proposed project focusing on results of any preliminary assessments and priority needs; • A rationale for the proposed beneficiaries (male, female) and why they are being targeted; • A description of the NGO's operational capacity on the ground; and • A description of how the project fits within the organization's larger humanitarian response (i.e. whether funds being requested from DFATD are part of a larger program being implemented by the NGO).
B) Summary Project Description: In this section, the NGO should provide: • A summary of the proposed response, including the geographic scope of the project and expected results; • A summary of each proposed activity (for each activity, please include the number of estimated beneficiaries (male, female), the associated costs to implement that activity, and a rationale for the activity in the humanitarian context); • A clear description and budget of the organization's broader humanitarian program in each proposed country, and explain how the proposed project fits within this larger programming; and • Proposed approach and methodology.

C) Risks and Risk Management: In this section, the NGO should outline the potential risks that could affect the expected project results (e.g. operational, financial, security, fiduciary) and risk management strategies. The table below can be used as a reference guide. Please note that IHA is interested in identifying risks that could negatively impact the achievement of expected results (downside risk); but potential positive effects of uncertain events (upside risk) should also be identified.

Risk	Likelihood of risk occurring	Effect on the achievement of expected results	NGO's risk management strategy
1. There is a risk that...	(Very Low / Low / High / Very High)	(Very Low / Low / High / Very High)	
2. There is a risk that...	(Very Low / Low / High / Very High)	(Very Low / Low / High / Very High)	
3.			

D) Safety and Security Considerations: In this section, the NGO must provide an overview of its country specific safety and security considerations in the proposed project area(s), including how the NGO will minimize identified threats to beneficiaries and staff, and whether the NGO has specific safety and security policies and procedures in place to guide project implementation. The information included should also answer questions such as, but not limited to:

- Do security concerns (or remote sites) make project management and monitoring particularly challenging? If so, what is the NGO's remote management and monitoring strategy?
- Do security challenges pose significant risks to staff and beneficiaries? What are the NGO's mitigation strategies to reduce risks to staff and beneficiaries?

E) Gender Equality (GE) Analysis: In this section, the NGO is to provide a brief gender equality analysis in the context of the emergency and proposed intervention, including how the NGO will ensure that gender equality considerations are part of the assessment and immediate response. Also, identify specific gender equality results, indicators and sex disaggregated data that will be collected and reported, if applicable.

F) On the ground capacity: In this section, the NGO is to provide specific information on its in-country operational capacity (e.g. pre-existing capacity on the ground), plus any relevant information on local implementing partner capacity to effectively deliver humanitarian assistance in the affected country.

G) Anti-terrorism and corruption: The NGO must provide an analysis of the specific risks related to terrorism and corruption for the proposed project and the operational measures the NGO has in place to manage these risks. The analysis should answer questions such as, but not limited to:

- Are there terrorist or other armed groups operating in the area where the project is being proposed?
- Are the proposed project activities of a type that could be diverted or stolen by terrorist or armed groups?
-
-

Annex 4: IHA Full Proposal Template

Complex Humanitarian Situations/Annual Funding Mechanism

IHA FULL PROPOSAL (COMPLEX HUMANITARIAN SITUATIONS/ANNUAL FUNDING) **Project Title (including year, type of crisis, country and sector)** **Organization** **Country**
A) Background: This section should focus mainly on an analysis of assessed needs. The NGO can also provide a brief summary of the emergency situation. The NGO should summarize the results of credible, evidence-based needs assessments in the proposed area(s) of operation. The NGO should specify when the needs assessments were conducted and by whom, and briefly describe the methodology and conclusions. If relevant and available, this section should provide sex-disaggregated baseline data and sources, as well as data on the affected population in the proposed area(s) of operation.
B) Project Rationale: The NGO should indicate why the proposed intervention is a priority.
C) Proposed Response: This section should provide an overview of the NGO's proposed response to the humanitarian situation and directly link the proposed response to the priority needs identified in the previous section. The NGO should include its proposed approach and methodology. The NGO should outline why the proposed modalities are the most appropriate and effective in the context of the humanitarian situation. The NGO should describe its broader humanitarian program and budget in each relevant country context, as well as an indication of how the particular project fits within it.
D) On the ground capacity: In this section, the NGO should provide specific information on its in-country operational capacity (e.g. pre-existing capacity on the ground, years of experience working in country), plus any relevant information on local implementing partner capacity to effectively deliver humanitarian assistance in the affected country.
E) Expected Results: The NGO should provide a clear and logical overview of the expected results that are linked to the priority needs. For each activity, include the following information: • The estimated number of beneficiaries for the activity (provide sex-disaggregated data); • A brief narrative description of each activity and rationale for the activity in the humanitarian context; • DFATD funds to be allocated to this activity; and • Key inputs required. **Note:** Please ensure to submit the Logic Model (see Annex 9) and Performance Measurement Framework (Annex 10) with the proposal. For further information on **DFATD's Results-based Management**, please see: http://www.acdi-cida.gc.ca/acdi-cida/acdi-cida.nsf/eng/NIC-31595014-KEF

F) Humanitarian Coordination: IHA recognizes that an effective humanitarian response is one that is coordinated with other actors. This section should therefore describe how and with whom the NGO will coordinate its response. The NGO should specify whether it has staff assigned to coordinate cluster-related activities; how the organization will ensure that it is sharing the necessary information in a timely manner with relevant clusters; and, how the NGO will coordinate with relevant government actors at the local and national levels. Other related questions that may be addressed include:

- How the NGO is linked at policy and operational levels to relevant international coordination bodies;
- The degree to which the NGO participates in joint needs assessments, or seeks to harmonize and share its needs assessments with other humanitarian actors;
- The extent to which the NGO participates in government/UN or other joint humanitarian planning initiatives (CAP, CHAP);
- The extent to which the NGO participates and contributes resources towards sub-cluster or cluster working groups; and
- The extent to which and how the organization shares pertinent information with coordination bodies and the broader humanitarian community (e.g. regular reporting to cluster lead agencies, the use of standardized reporting formats, working from shared baseline information and communicating evaluation plans).

G) Exit Strategy: This section is to present a clear plan for an appropriate exit/handover strategy at the end of the proposed project and a description of how the organization will dispose of any remaining materials and equipment at the end of the project.

H) Gender Equality (GE) Analysis: This section should provide an assessment of the specific gender equality issues in the context of the emergency (e.g. sexual and gender-based violence, participation of women and men in setting humanitarian priorities, access to humanitarian goods and services) with supporting quantitative and qualitative evidence. This section should also concretely describe how the project will seek to address issues raised in the analysis and, where applicable, contribute to gender equality results. Please note that this gender analysis should focus on the specific gender issues in the context of the humanitarian situation and the specific obstacles/opportunities that women, men, girls and boys face. Also specify organizational capacity to implement gender equality aspects of the proposed initiative (e.g. is there dedicated gender equality staff to support the project? Are there systems in place to collect sex disaggregated data and monitor gender equality results?).

I) Environmental Analysis and the *Canadian Environmental Assessment Act* (CEAA):

Environment Analysis for Humanitarian Programming

In your environmental analysis, describe how environmental considerations are incorporated into the design, implementation, and follow-up of your project. Any planned physical works require additional information (please refer to the "CEAA" section below). The environmental analysis should consider the following:

- Existing situation: Where, and in what environmental context, will the project activities be implemented?
- What negative, adverse environmental effects could the project have on the environment? What mitigation measures will be taken to eliminate or minimize them?
- What positive environmental effects could the project have on the environment? What measures will be taken to enhance them?
- What long-term or cumulative environmental effects could result from this project, keeping in mind the combined effect of the project and other activities by your organization or others? How will these be managed?
- What benefits and constraints could the environment have on the project? For example , risks of landslide, flooding, infestation. How will these be managed?
- Consultations : what inputs and feedback has been received from affected people or interested stakeholders?
- How will environmental effects be measured, monitored and reported?

For additional guidance, please consult the *Tools for the Identification of Environmental Effects, Appropriate Mitigation Measures, and Guidelines for Specific Sectors of Activity*.

As appropriate, the Logic Model and Performance Measurement Framework should incorporate environmental considerations. The NGO should also clearly identify specific risks related to the environment in "j) Risks and Risk Management."

Canadian Environmental Assessment Act (CEAA)

Clearly identify whether your proposal involves any "physical works" or "undertakings," as defined below. If so, applicants are required to provide as much detail as is known about these physical works at the time of application.

According to the CEAA, a "physical work" is something that has been or will be constructed (human-made) and has a fixed location (such as a water well, building, shelter, bridge or pipeline, but not ships at sea). "Undertakings" associated with a physical work consist of all the various lifecycle steps of the physical work (construction, operation, modification, decommissioning, abandonment, and so on).

A DFATD environment specialist will use the information provided in this section to determine whether the proposed project requires an environmental assessment, subject to or consistent with the CEAA, and return to you with further instructions.

If applicable to your project, please provide a response to the questions below in as much detail as is known when the application is submitted.

1. General description of all physical works, including their purpose.
2. Dimensions of each physical work (area, height, length) and measurements for both old and new footprints in the case of modifications.
3. Will the physical work be carried out within 30 metres of a body of water? Please explain.
4. Does the physical work involve the likely release of a polluting substance into a body of water? If so, please explain.
5. Will the physical work be located on agricultural land?
6. For buildings:
   - Will the building be on a serviced building lot and connected to the lot's hook-ups to water and sewage mains? Otherwise, how will it be serviced?
   - Will it involve storing any article or substance that is hazardous to human beings or the environment?

If your organization has already completed an Environmental Assessment Report, please attach it to your proposal.

J) Risks and Risk Management: In this section, the NGO should outline the potential risks that could affect the expected project results (e.g. operational, financial, security, fiduciary) and risk management strategies. The table below can be used as a reference guide. Note that IHA is interested in identifying risks that could negatively impact the achievement of expected results (downside risk); but potential positive effects of uncertain events (upside risk) should also be identified.

Risk	Likelihood of risk occurring	Effect on the achievement of expected results	NGO's risk management strategy
1. There is a risk that...	(Very Low / Low / High / Very High)	(Very Low / Low / High / Very High)	
2. There is a risk that...	(Very Low / Low / High / Very High)	(Very Low / Low / High / Very High)	
3.			

K) Safety and Security Considerations: In this section, the NGO should identify country specific safety and security considerations the NGO is taking into account in the project area. The NGO should describe how it will minimize identified threats to beneficiaries and staff (e.g. acceptance, deterrence, protection, transfer or avoidance). Also, specify whether the NGO has specific safety and security policies and procedures, as well as contingency plans in place that are appropriate for the operational environment and the project area. If so, please provide a copy with the proposal. The NGO should demonstrate its capacity for crisis management.

L) Participation: identify how beneficiaries and local delivery partners have been involved in the decision-making related to the design of the project and how they will be involved in the delivery and monitoring of the project.

M) Anti-terrorism: The NGO must provide an analysis of the specific risks related to terrorism and corruption for the proposed project and the operational measures the NGO has in place to manage these risks. The analysis should answer questions such as, but not limited to:

- Are there terrorist or other armed groups operating in the area for which the project is being proposed?
- Are the proposed project activities of a type that could be diverted or stolen by terrorist or armed groups?
- Do security concerns (or remote sites) make project management and monitoring particularly challenging?

N) Corruption: The NGO should outline specific measures it is taking to ensure there is no corruption related to the proposed funding request.

O) Monitoring and evaluation: In this section, the NGO should outline how specifically the project will be monitored and evaluated. It should explain who will be responsible for monitoring field activities (NGO or local implementing partner) especially in situations of remote management.

Annex 5: Summary Budget Template (for Abridged Proposals)

Summary Budget **Project Title (including year, type of crisis, country and sector)** **Organization** **Country**			
Budget Line	**In Canadian Dollars (CAD)**		
	DFATD	**Other Sources**	**Total**
A. Direct personnel costs, including salaries, allowances, benefits, insurance and other direct programming costs associated with organization staff in both Canada*/Headquarters and the field; staff includes permanent full-time, temporary and contract workers. Provide a breakdown of staff in Canada and in the field. **Note that direct personnel costs in Canada are allowable if quantifiable and if the added value to the specific project can be demonstrated.*			
B. Supplies and materials distributed to project beneficiaries (e.g. tents) or used to provide services directly to project beneficiaries (e.g. mobile clinics). Where cash is provided in lieu of goods, this line item is to provide details on the type of cash programming to be implemented (e.g. unconditional cash-for-work grants).			
C. Logistics, including the costs of transporting, storing and distributing supplies and materials to beneficiaries.			
D. Local administrative costs, including details on budget sub-items in this category.			
E. Other training and capacity building, including activities undertaken to train and build the capacity of project beneficiaries and other stakeholders (for e.g. community organizations, local health professionals) *Note that IHA typically does not fund this line item in sudden onset emergencies.*			

F. Assessment, Monitoring and Evaluation: *Note that IHA will not cover separate monitoring costs incurred by the organization's Canadian office/Headquarters. Organizations can use IHA funding to cover reasonable local costs incurred in local project monitoring. NGOs are encouraged to carry out evaluations of their proposed projects, once completed, to strengthen learning and accountability. In such cases, IHA may be prepared to share up to 50% of the cost of an external evaluation. This requires NGOs to seek input from IHA into the Terms of Reference for the evaluation. The approved Terms of Reference must include a requirement for the evaluation team to send a duplicate copy of the completed evaluation report directly to IHA.*			
G. Safety and security: IHA encourages partners to include security costs into project budgets. Safety and security budgetary considerations typically fall under the following four areas: 1. Material resources (e.g. telecommunication devices, first aid kits); 2. Human resources staff (e.g. security focal point, guards, consultants); 3. Training (e.g. safety and security, first aid, fire safety, driver defensive driving); and 4. Site enhancements that seek to make the project site safer for project assets and beneficiaries.			
Subtotal Direct Project Costs:			
H. Administrative Costs (maximum of 7.5% of direct project costs)			
Total Project Costs:			

Please include descriptions of the specific costs associated with each budget line.

TRAVEL COSTS: What are the anticipated travel costs associated with this project, included in the direct budget line items above? ***Please identify travel costs in the budget line descriptions above, where relevant.***	

Annex 6: Detailed Budget Template (for Full Project Proposals)

For guidance, please refer to Budget line descriptions in Annex 5

Please include descriptions of the specific costs associated with each budget line.

Detailed Budget **Project Title (including year, type of crisis, country and sector)** **Organization** **Country**						
Budget Line	**Description**	**Unit Cost**	**No. of Units**	**DFATD-IHA Contribution**	**Other Contributions**	**Total**
A	**Personnel:** 1) In-Canada/HQ Staff 2) Field Staff					
	Sub-Total Personnel:					
B	**Supplies and Materials:** 1) Item A 2) Item B 3) Item C 4) ...					
	Sub-Total Supplies and Materials:					
C	**Logistics:** 1) Transportation of Supplies and Materials 2) Storage of Supplies and Materials 3) Other (specify)					
	Sub-Total Logistics					
D	**Local Administrative Costs:** 1) Office Rent 2) Staff Training 3) Staff Transportation 4) Communications 5) Office Equipment 6) Office Supplies 7) Other (specify)					
	Sub-Total Local Admin Costs:					

E	**Support to Partner Orgs:** 1) Personnel Costs 2) Office Rent 3) Staff Training 4) Staff Transportation 5) Communications 6) Office Equipment 7) Office Supplies 8) Other					
	Sub-total Other Training & Capacity Building:					
F	**Assessment, Monitoring & Evaluation:** 1) Needs Assessments 2) Local Monitoring 3) Evaluation					
	Sub-Total Assessment, M&E:					
G	**Safety and Security:** Specify					
	Sub-Total Safety and Security					
SUB-TOTAL DIRECT PROJECT COSTS:						
H	**HQ Administrative Costs** (maximum of 7.5% of direct project costs)					
TOTAL PROJECT COSTS:						

TRAVEL COSTS: What are the anticipated travel costs associated with this project, included in the direct budget line items above? ***Please identify travel costs in the budget line descriptions above, where relevant.***	

Annex 7: Final Reports Template (Narrative and Financial)

Final IHA Project Report **Project Title (including year, type of crisis, country and sector)** **Organization** **Country** **DFATD Project Number**
A. Project Overview i) Background and Project Rationale: • Provide a brief background on the humanitarian situation and approved project, as well as a justification for the project. ii) Update on Humanitarian Emergency: • Provide a brief overview of the humanitarian emergency and the present situation since the project start; • Describe how the humanitarian situation has evolved over the lifespan of the project; and • Indicate how the humanitarian and security situations have changed over the course of the project.
B. Project Description i) Amendments to Approved Project Proposal: • Summarize any amendments made to the signed grant agreement (especially those related to suspension of activities due to security). ii) Purpose and Expected Results: • Provide the Logic Model that was approved upon grant signature or the amended version. iii) Completed Activities: • Provide a table summarizing completed project activities, as well as a brief justification where actual activities differ from planned activities.

C. Actual Results Achieved

NGOs should use the Logic Model and Performance Measurement Framework, which were part of the original project proposal, as the basis for assessing and reporting on progress and impact.

i) Performance Table:

- Provide a table to analyse actual versus expected results.

ii) Summary Assessment of Project Performance:

- Provide a narrative summary of overall performance based on analysis and any other relevant performance information;
- Using the "Summary Assessment Table of Project Performance" format below, please describe the degree to which expected results were achieved and justify any variances; and provide a rating to assess the achievement of results, using the rating scale below.

Summary Assessment Table of Project Performance		
Expected Result	Rating	Explanation of Rating, including justification for variances
Outcome #1		
Output #1		
Output #2		
Etc.		

Rating Scale

EE: Exceeding/exceeded expected result
AE: Achieving/achieved expected result
MP: Experienced Manageable Problems
OP: Experienced Other Problems
UR: Unable to Rate

D. Performance Factors

In this section, the NGO should comment on a number of project performance factors:

- ***Relevance:*** Describe how the project responded to the priority humanitarian needs of beneficiaries;
- ***Appropriateness:*** Describe whether project resources, staff capabilities and selected strategies were sufficient to achieve proposed results and note any challenges in achieving those results;
- ***Efficiency:*** Describe any specific efficiencies that the NGO achieved over the course of the project in delivering inputs and implementing activities. Also describe whether the response was implemented in a timely manner, and if not, please provide a justification;
- ***Gender Equality:*** Concretely describe how the project addressed the different needs, interests,

capabilities and vulnerabilities of affected women, men, girls and boys in all stages of the project (e.g. needs assessments, project design and implementation). Include sex disaggregated data and gender equality results achieved;

- ***Environment:*** Describe how environmental issues were addressed. What measures were taken to ensure that the environment was protected and to manage risks to the environment? Also, how were the NGOs own environmental guidelines/policies applied? If the project produced positive outcomes for the environment, these should be described here;
- ***Participation:*** Describe how beneficiaries (male, female) and local delivery partners were involved in decision-making related to the design, delivery and monitoring of the project;
- ***Coordination:*** Describe how the NGO coordinated its efforts with the work of the host government, other relevant organizations and the broader humanitarian system (e.g. cluster system coordination); and
- ***Safety and Security:*** Describe how the security situation has changed over the course of the project. Also, include whether security risks identified by the NGO at the outset of the project had to be modified and whether the NGO took action to respond to these risks. In addition, provide a report on any security incidents that took place over the course of the project in close proximity to the NGO activities.

D. Withdrawal and Transfer

- Explain how the NGO will continue activities beyond the life of the project or withdraw following the completion of the project.
- Provide details, if applicable, on the transfer of project assets and/or staff[4].
- Explain how project efforts are connected to broader and longer-term efforts to address the humanitarian crisis and provide more sustainable solutions.

E. Financial Reporting (to be completed with Annex 8)

The final financial report is based on the project budget that forms part of the signed grant agreement. The NGO is to report on expenditures to date and provide a narrative justification for significant variances. A revised budget is required if the variance exceeds 10% of direct personnel costs and 20% on all other direct project cost budget line items. (Please note that project administration costs can never exceed 7.5% of direct project costs.) Expenditures are to be aligned with the breakdown provided in the original budget.

i) Approved Budget versus Actual Expenditures

- Provide a budget table clearly comparing original budget line items to actual disbursements.

[4] NB: NGOs are not required to request DFATD permission to transfer project assets and/or staff. If, however, the NGO does transfer project assets and/or staff, NGOs should include the details in their reports.

ii) Narrative Explanation of Variances

- Justify significant variances in the planned and actual budget allocations.

F. Lessons Learned

- Summarize the most significant risk management strategies applied;
- Identify any positive aspects of the project that could be replicated, and negative aspects that should be avoided;
- Include any recommendations for changes in relief operations based on project experience; and
- Explain how the project's results will be disseminated for use by others; and indicate the effectiveness of the exit strategy.

Annex 8: Detailed Budget for Final Financial Reports Template

Final IHA Financial Report **Project Title (including year, type of crisis, country and sector)** **Organization** **Country** **DFATD Project Number**					
Budget Line	**Approved Budget**	**Actual Disbursement**	**% Variance**	**Explanation of significant variance (if greater than 10%)**	**Total**
A. Personnel: 1) In-Canada/HQ Staff: 2) Field Staff:					
Sub-Total Personnel					
B. Supplies & Materials: 1) Item A 2) Item B 3) Item C					
Sub-Total Supplies & Materials					
C. Logistics: 1) Transportation of Supplies and Materials 2) Storage of Supplies and Materials 3) Other (specify)					
Sub-Total Logistics					
D. Local Administrative Costs: 1) Office Rent: 2) Staff Training: 3) Staff Transportation: 4) Communications: 5) Office Equipment: 6) Office Supplies: 7) Other:					
Sub-Total Local Administrative Costs					

Budget Line	Approved Budget	Actual Disbursement	% Variance	Explanation of significant variance (if greater than 10%)	Total
E. Other Training and Capacity Building: 1) Specify:					
Sub-total Other Training & Capacity Building:					
F. Assessment, Monitoring & Evaluation: 1) Needs Assessments 2) Local Monitoring 3) Evaluation					
Sub-Total Assessment, M&E:					
G. Safety and Security 1) Specify:					
Sub-Total Safety and Security					
H. HQ Administrative Costs (maximum of 7.5% of direct project costs)					

Annex 9: IHA Logic Model Template

Title		**Partner Name**		**DFATD Project Number:**	To be completed by DFATD
Country/Region		**Total Budget**		**Duration**	
		Requested from IHA:			

Ultimate Outcome	The ultimate outcome is the highest level change that can be reasonably attributed to the proposed project in a causal manner. In order to align the proposed project with IHA's program-level Logic Model, NGOs are expected to use the following statement as the project ultimate outcome: ***Lives saved, suffering alleviated and human dignity maintained in countries experiencing humanitarian crisis or that are food insecure***
↑	↑
Intermediate Outcome	A change that is expected to logically occur once the project is completed. In order to align the proposed project with IHA's program-level Logic Model, NGOs are expected to use the following statement as the project intermediate outcome: ***Reduced vulnerability of crisis-affected people, especially women and children***
↑	↑ ↑ ↑ ↑ ↑ ↑
Immediate Outcomes (Examples)	A change that is directly attributable to project outputs. These are short-term outcomes and are usually at the level of an increase in the awareness/skills of (something) or access to (something) among beneficiaries. Examples of immediate outcome results statements include: • Increased access to safe drinking water; • Increased access to sanitation facilities conforming to cultural norms of users; • Increased access to emergency shelter; • Increased access to interventions aimed at preventing, identifying and treating severe and moderate acute malnutrition among children, pregnant/ lactating women and other vulnerable groups;

	• Increased access to maternal health services such as emergency obstetric care and having a skilled health professional present at delivery; • Increased access to services for survivors of sexual and gender base violence (e.g. counselling, legal services, medical services); • Increased access to environment-related health information; and • Increased access to medical waste disposal facilities.					
	100 WASH •	**200 Shelter & NFIs** •	**300 Health** •	**400 Nutrition** •	**500 Livelihoods**	**600 Protection** •
↑	↑	↑	↑	↑	↑	↑
Outputs **(Examples)**	Outputs are direct goods or services stemming from the project activities. Output statements should specify, but not quantify (the target amount should be included in the Performance Monitoring Framework), the good or service provided, delivered or distributed. Examples of output statements include: • Water purification tablets provided; • Shelters built according to SPHERE standards.					
	110 120 130 140	210 220	310 320	410 420	510 520	610
↑	↑	↑	↑	↑	↑	↑

Activities	Activities are actions taken or work performed through which inputs (e.g. the financial, human, material and information resources of the project) are mobilized to produce outputs. Examples of activities include: • Provision of water purification tablets; • Provision of emergency shelters; • Provision of latrines.					
	110 120 130 140	210 220	310 320	410 420	510 520	610 620

Notes:

1. The boxes in the template are to be used for illustration purposes only. NGOs can adjust the number as required provided there is a logical link between result levels.
2. Immediate Outcomes = 100 series (100,200,300 etc)
   Activities/Outputs = 10 series (110,120,130 etc)

Annex 10: Performance Measurement Framework Template

Project Title (including year, type of crisis, country and sector):
Organization:
DFATD project number:

EXPECTED RESULTS[1]	TARGETED INDICATORS	BASELINE DATA (if available)	TARGETS	DATA SOURCES	RESULT	EVIDENCE
ULTIMATE OUTCOME ***(Long term)***	NA – Ultimate Outcome results will usually not be evident during the project period. As a result, NGOs will not be asked to report on project results at this level through the final project report. If, however, an NGO undertakes an evaluation or other review exercise subsequent to project completion, ultimate outcome results information may be apparent at that time. IHA would appreciate receiving a copy of any such evaluation.					
INTERMEDIATE OUTCOMES ***(Medium term)***	NA – Intermediate Outcome results will usually not be evident during the project period. As a result, NGOs will not be asked to report on project results at this level through the final project report. If, however, an NGO undertakes an evaluation or other review exercise subsequent to project completion, intermediate outcome results information may be apparent at that time. IHA would appreciate receiving a copy of any such evaluation.					
IMMEDIATE OUTCOMES ***(Short term)***						
OUTPUTS						

Annex 11: Project Implementation Timeline

The Project Implementation Timeline is a simple Gantt chart, which allows IHA to understand when project activities will start and be completed, as well as how the activities will be sequenced. The NGO should use the format provided below, which can be expanded/modified as needed. The end of the highlighted bars indicates the date on which the activity will be completed (e.g. all NFIs distributed to beneficiaries, all latrines constructed, etc.)

When providing status updates, NGOs can refer to the Project Implementation Timeline as a reference.

Example:

Activities	Month 1				Month 2				Month 3				Month 4			
	w1	w2	w3	w4	w1	w2	w3	w4	w1	w2	w3	w4	w1	w2	w3	w4
Activity 1																
Activity 2																
Activity 3																
Activity 4																
Activity 5																

Annex 12: Glossary

Beneficiary (intended/direct): The individuals, groups of individuals, or organizations who are expected to directly benefit from the services provided, for example, male and female refugees, displaced people and local delivery partners.

Cluster Approach: A mechanism to strengthen partnerships and promote more effective international responses to humanitarian emergencies by better defining the roles and responsibilities of organizations within key sectors of the response, identifying gaps in the response across sectors and clarifying the division of labour. Key sectoral clusters in humanitarian emergencies include food, water and sanitation, health, shelter and protection.

Complex Humanitarian Situation (complex emergency): A protracted, multifaceted humanitarian emergency in a country, region or society where there is total or considerable breakdown of authority resulting from internal or external conflict and which requires a multi-sectoral, international response that goes beyond the mandate or capacity of any single agency and/or the ongoing UN country program. Complex humanitarian situations are situations typified by extensive violence and loss of life, massive displacements of people and widespread damage to societies and economies.

Consolidated Appeals Process (CAP): A tool used by aid organizations to plan, coordinate, fund, implement and monitor their activities in major sudden onset and/or complex humanitarian situations that require a system-wide humanitarian response. The CAP contributes to developing a more strategic approach to humanitarian action and fosters closer cooperation between host governments, donors and aid agencies such as NGOs, the Red Cross Movement and the UN.

Humanitarian Action: Humanitarian action includes the protection of civilians and those no longer taking part in hostilities, and the provision of food, water and sanitation, shelter, health services and other items of assistance undertaken for the benefit of affected people and to facilitate the return to normal lives and livelihoods. *(Good Humanitarian Donorship definition)*

Gender Equality: Gender equality means that women and men enjoy the same status and have equal opportunity to realize their full human rights and potential to contribute to national, political, economic, social and cultural development, and to benefit from the results.

Good Humanitarian Donorship (GHD): An informal donor forum and network that facilitates collective advancement of GHD principles and good practice. It recognizes that, by working together, donors can more effectively encourage and stimulate principled donor behaviour and, by extension, improved humanitarian action. The Principles and Good Practice of Good Humanitarian Donorship were drawn up to enhance the coherence and effectiveness of donor action, as well as their accountability to beneficiaries, implementing organizations and domestic constituencies, with regard to funding, co-ordination, follow-up and evaluation.

Natural Disaster: A phenomenon of nature that leads to a serious disruption of the functioning of society, causing widespread human, material or environmental losses that exceed the ability of the affected society to cope using its own resources.

Protection: Involves ensuring the physical safety, personal dignity, integrity and empowerment of people exposed to extreme levels of risk, often the result of deliberate personal violence and deprivation. Protection is defined as all activities aimed at ensuring full respect for the rights of the individual in accordance with the letter and the spirit of relevant bodies of law, i.e. human rights law, international humanitarian law and refugee law.

Results-based Management (RBM): Results-based Management is a life-cycle approach to management that integrates strategy, people, resources, processes and measurements to improve decision-making, transparency and accountability. RBM is essential to exercise sound stewardship in compliance with government-wide performance and accountability standards.

RBM seeks to:

- Define realistic expected outcomes based on appropriate analyses;
- Clearly identify program beneficiaries and design programs to meet their needs;
- Monitor progress towards outcomes, as well as resources used, with the appropriate indicators;
- Identifiy and manage risks, while considering expected outcomes and necessary resources; and
- Report on outcomes achieved and resources involved.